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Thomas J. Finn (602) 382-6208
Patents, Trademarks & Copyrights
tfinn@swlaw.com

April 16, 2002

VIA FIRST CLASS MAIL

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

Re: US Nonprovisional Patent Application, Chow, et al.
Title: REAL-TIME BROKERAGE ACCOUNT
APPLICATION SYSTEM AND METHOD
Filing Date: December 20, 2001
Serial No.: 10/032,588
Confirmation No.: 8373
Our File No.: 40655.3800

Dear Sir or Madam:

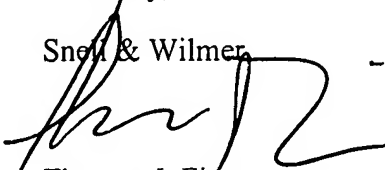
Enclosed are the following documents:

1. Response to Notice to File Missing Parts;
2. Fee Transmittal for FY 2002;
3. Check no. 288644 in the amount of \$210.00;
4. Return Receipt Postcard (postage prepaid);
5. Recordation Form Cover Sheets and Assignments (2);
6. Declarations for Patent Application (2); and
7. Power of Attorney By Assignee and Certificate Under 37 CFR 3.73(b).

Please process the above documents. Thank you.

Sincerely,

Snell & Wilmer



Thomas J. Finn

TJF:bf

Enclosures

cc: Ms. Patrice Jacobson (AMEX)



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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/17 (11-01)
Approved for use through 10/31/2002. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

\$210.00

Complete if Known

Application Number 10,032,588

Filing Date December 20, 2001

First Named Inventor Christina Chow

Examiner Name TBA

Group Art Unit 2164

Attorney Docket No. 40655.3800

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit
Account
Number

19-2814

Deposit
Account
Name

Snell & Wilmer L.L.P.

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments

☐ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee
to the above identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1)

2. EXTRA CLAIM FEES FOR UTILITY AND

Total Claims	Extra Claims	Fee from below	Fee Paid
	-20** = 0	X	0.00
Independent Claims	-3** = 0	X	0.00
Multiple Dependent			

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

\$0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non - English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR § 1.17(q)	
126	180	126	180	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	80.00
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) Surcharge for late filed Declaration

130.00

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

\$210.00

SUBMITTED BY

Name (Print/Type)

Thomas J. Finn

Registration No.
(Attorney/Agent)

48,066

Telephone

602/382-6208

Signature

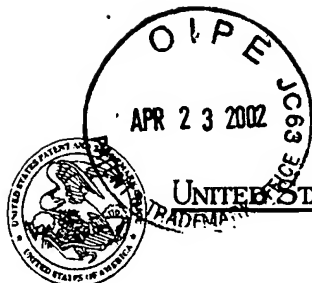
Date

April 16, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

#3



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/032,588	12/20/2001	Christina Chow	40655.3800

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CONFIRMATION NO. 8373

FORMALITIES LETTER



OC000000007519297

Thomas J. Finn
Snell & Wilmer L.L.P.
400 East Van Buren
One Arizona Center
Phoenix, AZ 85004-2202

Date Mailed: 02/22/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

04/24/2002 NROCHA1 00000069 10032588

01 FC:105

130.00 OP



#3

CERTIFICATE OF MAILING

I certify that this document and fee is being deposited with the U.S. Postal Service as First Class Mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: April 16, 2002


Signature of Person Mailing Correspondence

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT

Applicant(s): Christina Chow, et al. Atty. Docket No.: 40655.3800
Serial No.: 10/032,588 Confirmation No.: 8373 Group Art Unit: 2164
Filed: December 20, 2001 Examiner: TBA
TITLE: **REAL-TIME BROKERAGE ACCOUNT APPLICATION SYSTEM AND
METHOD**

RESPONSE TO NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION FILING DATE GRANTED

Assistant Commissioner for Patents
Box Missing Parts
Washington, D.C. 20231

Dear Sir:

This responds to the Notice to File Missing Parts of Nonprovisional Application - Filing Date Granted mailed on February 22, 2002.

Enclosed herewith for filing are the following:

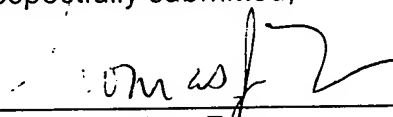
- A copy of the Notice to File Missing Parts of Nonprovisional Application - Filing Date Granted. **(REQUIRED)**;
 - Recordation Form Cover Sheets and Assignments (2); \$80.00
 - Declarations (2);
 - Surcharge for late filed Declarations; and \$130.00
 - Power of Attorney By Assignee and Certificate Under 37 CFR 3.73(b).
- | | |
|--------------------------------------|----------|
| Total completion of application fees | \$210.00 |
| Total fees due | \$210.00 |

The fee of \$130.00 is to be paid as follows:

- X A check in the amount of the fee is enclosed.
- X The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. **19-2814**.
A duplicate copy of this sheet is enclosed.
- X If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. **19-2814**.
A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Dated: April 16, 2002



Thomas J. Finn, Esq.
Reg. No. 48,066

SNELL & WILMER L.L.P.
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